

**Alabama Public Television
(composed of the Alabama Educational Television
Commission [AETC] and the Alabama Educational
Television Foundation Authority [AETFA])**



**Functional Analysis
&
Records Disposition Authority**

**Approved by the
State Records Commission
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Functional and Organizational Analysis of Alabama Public Television

Sources of Information

- Staff Members of Alabama Public Television
- Alabama Government Manual (2010), pp. 226-229
- Alabama Department of Archives and History's files relating to Alabama Public Television
- *The Public and Broadcasting: How to the Get the Most Service from Your Local Station*, The Media Bureau, Federal Communications Commission, (2008)
- Code of Alabama 1975 § 16-7A-1 through § 16-7A-8
- Code of Federal Regulations, 73.1840 and 73.3527
- Alabama Public Television website: www.aptv.org

Historical Context

Alabama Public Television is the name which collectively refers to the Alabama Educational Television Commission (AETC) and the Alabama Educational Television Foundation Authority (AETFA). AETC, the Federal Communications Commission licensee for the nine Alabama Public Television stations, was established by the Alabama Legislature in 1953. In January of 1955, WCIQ on Mt. Cheaha began operation as the nation's ninth non-commercial television station. Four months later, with the sign-on of WBIQ in Birmingham, Alabama became the first state in the nation with an educational television network. The AETC made its first broadcast as a network in April 1955. Today, Alabama Public Television operates nine digital transmitters that cover the state. Each transmitter broadcasts three separate channels: APT HD (high definition), APT World (standard definition), and APT-Create (How-To and Travel delivered via standard definition). Operating as the Alabama Public Television network (APT), the organization has a studio in Washington, D.C. and holds the license for one public radio station, WLRH-FM in Huntsville, Alabama. In addition, the agency's website, www.aptv.org, offers online programming and educational resources.

An affiliated organization, the Alabama Educational Television Foundation Authority, was established in 1982 and activated in 1985 as a 501(c)(3) to raise, invest, and expend donations to promote, develop, and grow educational and public television in the state. Money raised through the foundation is used to sponsor programs, purchase equipment needed for local production efforts, and provide for the operation of the organization, as needed.

Agency Organization

The AETC consists of seven members, one from each congressional district, who are appointed by the governor with the Senate's approval. The commissioners must be residents of and qualified electors in the state. The AETC may elect a chairman, secretary, and other officers as is necessary. The AETC also appoints an executive director. The executive director has operational

control over The Alabama Educational Television Commission and the Alabama Educational Television Foundation Authority. The staff of the AETC are appointed under the provisions of the Merit System; the AETFA employs its own staff, separate from the merit system.

The Alabama Educational Television Foundation Authority consists of thirteen members, which includes the seven members of the Alabama Educational Television Commission. Other members include the public network's general manager as an ex officio member, and five members selected from the state at large from persons with expertise in broadcasting or investments. Members serve four-year staggered terms.

Agency Function and Subfunctions

The mandated functions of the AETC are to survey, study, and appraise the need for an overall plan to make television available for noncommercial, educational use. It is specifically charged with the duty of controlling and supervising the use of channels reserved by the Federal Communications Commission to Alabama for noncommercial, educational use. It designates the locations of educational stations and makes rules and regulations to govern the operations and programs of such stations. It may own and operate television and radio stations or contract for their use. It may adopt rules and regulations for governing its operation and can appoint necessary agents and employees. It may delegate its duties and powers when appropriate. It is one of the agencies responsible for performing the Education function of Alabama government.

The functions of the Alabama Educational Television Foundation Authority are limited to fundraising, expenditure of funds for programming and equipment, and provide for the operation of the organization as needed.

In performance of its mandated functions, Alabama Public Television may engage in the following subfunctions.

- **Governing the Agency.** APT adopts rules and regulations for governing its operations.
- **Controlling and Supervising Educational Television.** The agency is responsible for surveying, studying, and appraising the need for an overall plan to make educational television available in the state. In carrying out this duty, the agency controls and supervises FCC reserved channels in Alabama. It designates the locations of educational stations and makes rules and regulations to govern the operations and programs of such stations. APT may delegate its duties and powers when appropriate. Currently, APT owns and operates WAIQ (Montgomery), WBIQ (Birmingham), WCIQ (Mt. Cheaha), WDIQ (Dozier), WEIQ (Mobile), WFIQ (Florence), WGIQ (Louisville/Texasville), WHIQ (Huntsville), and WIIQ (Demopolis). APT's network operations center is located in the central office in Birmingham.

Alabama Public Television works with the Alabama Department of Public Safety to operate the Voiceover IP Radio System, which allows all emergency responders from all over the state to communicate with each other. Prior to the establishment of the system,

emergency responders were unable to talk with units from outside their areas. Alabama is the only state that has such a system, which is made possible by the agency's 28 towers located throughout the state. APT also operates the Emergency Alert System which sends out emergency messages to residents. Non-APT stations in the state pick up the EAS messages the agency send. The agency utilizes its website as another means to provide content to the public.

- **Creating and Licensing Content.** The agency's television stations air Pre-K programming during the day and episodic programming at night. Programs are created by the agency or purchased, bartered, or accepted from organizations such as PBS, NETA, ITV, and other various corporations, as well as from various universities in Alabama. The APT website provides numerous educational resources, including educational videos, lesson plans, field trips, and teacher guides. APT works in partnership with state and local agencies to create and deliver trainings and resources to help ensure Alabama's children experience school readiness and school success. Workshops are keyed to the Department of Human Resources' Minimum Standards and provide resources and information to childcare providers and parents that can be used to support a child's development in areas such as language, science, math, health, and conflict resolution. The workshops are provided throughout the state at daycare centers, Quality Enhancement Contractors' conference rooms, Head Starts, etc. and are facilitated by either an APT Education Training Specialist or by trained partners. In addition, APT provides workshops to K-12 educators focusing on content and content applications in the classroom to support teaching goals and objectives and to enhance learning. These workshops are presented at schools and educational conferences.
- **Strengthening the Agency's Services through the Alabama Educational Television Foundation Authority.** The AETFA raises money to support educational television in the state and promotes educational and public broadcasting.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communication; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing a budget package, submitting the budget package to the Department of Finance; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of

accounting and reporting; authorizing travel; contracting with companies of individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of Alabama Public Television

Agency Record Keeping System

Alabama Public Television currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-Based System: APT continues to utilize paper as a component of its records keeping system.

Computer-Based System: APT uses computers running Windows 7 with five servers running Windows Server 2008 and 2012. Servers are backed up nightly to a Windows Home Server; backups include all user data stored on the servers as well as the ability to restore the entire server. The APT email server is located in the Birmingham Headquarters and maintained by the APT IT Services Dept. APT uses Microsoft Office 2013 Pro Plus suite. APT staff members use FHRS for accounting and GHRS for payroll management. These programs are managed by the Department of Finance, Information Services Division. The agency has a website at www.aptv.org and has Facebook, Twitter, and Google+ accounts.

Production System: APT uses Final Cut Pro, a non-linear editing program, on Apple computers to create their programming. Programs are stored on XDCAM discs, HDCAM tapes, and Beta tapes. The Montgomery studio has material stored on VHS and DVD as well.

Records Appraisal

The following is a discussion of the three major categories of records created and/or maintained by Alabama Public Television: Temporary Records, Permanent Records, and Records No Longer Created.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Political Files.** This series is required by the FCC and documents a complete record of a request to purchase broadcast time that: (a) is made by or on behalf of a legally qualified candidate for public office; or (b) communicates a message relating to any political matter of national importance. The file must identify how the station responded to such requests and, if the request was granted, the charges made, a schedule of time purchased, the times the spots actually aired, the rates charged, and the classes of time purchased. The file must also reflect any free time provided to a candidate. FCC requires the records to be retained for two years after the spot aired.
- **FCC Annual Reporting Files.** These records document annual recruitment of employees and long-term outreach activities to interns and potential future employees for television

stations and radio stations employing five or more full-time employees. The FCC requires public television stations to document their efforts to comply with diversity employment requirements. These records are audited by the FCC and must be retained throughout the audit period. The audit period may be as long as 8 years; therefore, retaining them for 10 years ensures all the files are kept until audited.

- **FCC Mid-Term Broadcasting Reports.** FCC policy requires stations with five or more employees to report the type of station, call sign, facility ID number, location, and compliance with the FCC's Diversity Employment Policy for each facility. These records are audited by the FCC and must be retained throughout the audit period. The audit period may be as long as 8 years; therefore, retaining them for 10 years ensures all the files are kept until audited.
- **Curriculum Files.** Curriculum files contain course overviews for early childhood trainings (training curricula), syllabi, and PLU approvals (where applicable) for online courses. The files have an administrative value of 10 years to the commission.
- **Educational Credentials.** The files contain the performance evaluations of participants of online courses. APT tracks the pre- and post-test scores of the participants and reports a composite percentage change between the pre- and post-tests to the Department of Human Resources (DHR). The records have an administrative value of 3 years to the commission.
- **Internal Education Management Records, including internal and external communication; Department of Human Resources reports, planning, and reporting.** This record series documents the partnership between APT and DHR to provide educational resources, programs, and training sessions to support child development. It includes information on how many training sessions were given, the number of attendees, their roles (childcare provider, parent, etc.), pre- and post-test scores, and a narrative for each training session describing the training program, listing the partners, and telling where it took place. The series also includes information on other educational activities, such as virtual field trips. These records have a 5-year administrative value to the commission.
- **Records documenting job recruitment (including application for employment).** These records document the recruitment activities for both state merit and foundation employees. The FCC and Community Service Grants require the records to be maintained for 10 years. These records are audited by the FCC and must be retained throughout the audit period. The audit period may be as long as 8 years; therefore, retaining the records for 10 years ensures both FCC and CSG requirements are fulfilled.
- **Records documenting payroll (e.g. pre-payroll reports, payroll check registers).** The agency wishes to follow the Society for Human Resource Management's (SHRM) recommendation to maintain the records for the length of employment, plus an additional 5 years or at the completion of the audit by the Examiners of Public Accounts for the fiscal year in question, whichever is later. SHRM's recommendation results from the

Lilly Ledbetter Fair Pay Act of 2009, which changed the statute of limitation for suing employers for discrimination in pay from 180 days after the original decision to discriminate to 180 days after each paycheck.

- **Insurance Policies/Risk Management Records.** Alabama Public Television utilized the Public Telecommunications Facilities Program (PTFP) to obtain equipment. PTFP required grantees to maintain insurance information on property for a 10-year period after the project is completed. Although the program was shut down in fiscal year 2011, the National Telecommunications and Information Administration continues to monitor the previously awarded grants until the expiration of the award period.
- **SAS (Station Activity Survey) Report Files.** These records document employee data on race, gender, and position classification as well as certain salaries and tenure for specific position categories. These records are audited by the Corporation for Public Broadcasting and must be retained throughout the audit period. The audit period may be as long as 8 years; therefore, retaining them for 10 years ensures all the files are kept until audited.
- **Corporation for Public Broadcasting's Diversity Eligibility Criteria Information.** The records document diversity plan information to comply with the Corporation for Public Broadcasting's requirements for Community Service Grants funding. These records are audited by the CPB and must be retained throughout the audit period. The audit period may be as long as 8 years; therefore, retaining them for 10 years ensures all the files are kept until audited.

II. Permanent Records. The Government Services Division recommends the following records as permanent.

Governing the Agency

- **Meeting Agendas, Minutes, and Packets of Alabama Public Television.** This series consists of the original copies of meeting agendas, signed minutes, meeting packets, and other related materials for both the commission and the authority. They are core documentation of the decision-making process and should be preserved permanently. **(Bibliographic Title: Alabama Public Television Meeting Agendas, Minutes, and Packets)**
- **Administrative Correspondence of Alabama Public Television.** This series consists of the correspondence of the commission members and documents policy and procedure decisions and, therefore, should be preserved permanently. **(Bibliographic Title: Alabama Public Television Administrative Correspondence)**
- **Administrative Files of the Executive Director.** These records include official correspondence, meeting files with managers and directors, official leadership meeting files, and other official records documenting the executive director's work. **(Bibliographic Title: Administrative Files of the Executive Director)**

Controlling and Supervising Educational Television

- **Documentaries, Newscasts, and Episodic Programs (final products only).** The agency produces documentaries, newscasts, and other educational programs. “Newscasts of record” are the official newscasts. Other newscasts created contain repeated material from the “newscast of record.” Although most of the programs are broadcast on television, a growing number are available online only. Examples of programs include the *Sundial Writers Corner*, *Capitol Journal*, *We Have Signal*, and *Journey Proud*. This series documents a core responsibility of the commission and provides information on Alabama culture and history. Because Archive-It cannot capture all online programs, APT will need to include both televised and online programs when it transfers records in this series to ADAH. **(Bibliographic Title: Television Programs)**
- **Schedules for Programming.** These records document the daily programming offered on the different stations’ service areas, including news, music, and entertainment. This series should be retained permanently as it provides documentation of daily programming. **(Bibliographic Title: Television Program Schedules)**
- **Broadcast Releases.** Individuals appearing in agency-produced documentaries and programs must sign releases giving the agency perpetual rights to use recordings of the appearances for any purpose in the future. As the agency’s documentaries and programs have a permanent retention, the releases must be retained permanently to document the agency’s rights to use the material.

Strengthening the Agency’s Services through the Alabama Educational Television Foundation Authority

- **Administrative Files of the Alabama Educational Television Foundation Authority.** This series contains booklets of the authority’s meetings and/or retreats, files of past board members, and board members’ correspondence. This series should be maintained permanently to document the operation of the authority. **(Bibliographic Title: Alabama Educational Television Foundation Authority Administrative Files)**
- **Corporate Support Documentation.** This series contains information on corporate donations to the authority and includes contracts, correspondence, accounting information, and underwriting reports. This series is deemed permanent as it documents corporate sponsorship of public television in the state. **(Bibliographic Title: Corporate Sponsorship Files)**
- **Donor Files.** This series contains documentation of individual donations to the authority and includes correspondence, accounting information, proof of performance, and reports. This series should be maintained permanently to document how donations were used and in case deceased donors’ families continue to donate to the authority. **(Bibliographic Title: Donor Files)**

Administering Internal Operations

- **Publications.** The department creates publications including a monthly member newsletter, The Guide, which highlights a couple of special programs during the month as well as provides a monthly programming list; Print Advertising Plan, and Viewer Guide Features. Print Advertising Plan lists the publications in which APT advertises, as well as the print dates and copies of the print ads that run and Viewer Guide Features gives information on the main programs that APT airs. The agency produces an annual report which includes information on programs offered, educational activities, and statistics on online use, workshops, and donations. These publications provide documentation of departmental program activities and interaction with the public. **(Bibliographic Title: State Publications)**
- **Press Releases.** This series consists of statements or announcements concerning the department and its work issued for distribution to the media and the public. Included in this series may be copies of news releases, published articles, photographs, typescripts of broadcast announcements, and other reference materials. A file may contain background data relative to the subject of the news release or newspaper clippings of the release. This series needs to be kept permanently as documentation of the agency's attempt to keep the public informed and to promote departmental programs. **(Bibliographic Title: State Publications)**
- **Website and Social Media Site(s).** The agency has a website at www.aptv.org. Information on the website includes how to make donations to the AETFA, programming information, educational resources, contact information, and information about the agency. This agency has social media sites including, but not limited to, Facebook and Twitter. This series documents the functions of the agency and its interaction with the public. **(Bibliographic Title: Website)**
- **Historical Files.** These records include photographs, newspaper clippings, and any other memorabilia documenting the activities of the agency. **(Bibliographic Title: Reference Files)**
- **Copy of Federal Form 990.** The agency wishes to maintain copies of the AETFA's federal tax returns permanently.
- **Grant Project Final Narrative Reports.** These files are the final reports of the grants managed by Alabama Public Television. Examples of grants include Community Service Grants, Public Broadcasting Service grants, and Corporation for Public Broadcasting grants as well as other grants administered by the department. Grant Program Final Reports document the activities of the grant. **(Bibliographic Title: Grant Project Final Reports)**
- **External Audit Reports.** These records document audits performed by private auditors, not by the Examiners of Public Accounts. The audits cover both the AETC and the

AETFA. The agency wishes to maintain them permanently because of changes in external auditors. APT makes the reports available through its website.

III. Records No Longer Created. The following records are no longer created by Alabama Public Television.

- **Transcripts of interviews with documentary subjects.** This series includes transcripts of interviews from agency-produced documentaries and that are part of the interviews that aired or were presented via broadband should be retained permanently as they aid in the understanding of interviews. Since APT no longer creates interview transcripts nor were transcripts created for all previous interviews, APT is not responsible for creating transcripts not currently in existence. **(Bibliographic Title: Interview Transcripts)**

Permanent Records List Alabama Public Television

Governing the Agency

1. Meeting Agendas, Minutes, and Packets of Alabama Public Television
2. Administrative Correspondence of Alabama Public Television
3. Administrative Files of the Executive Director

Controlling and Supervising Educational Television:

1. Documentaries, Newscasts, and Episodic Programs (final products only)
2. Schedules for Programming
3. Broadcast Releases*

Strengthening the Agency's Services through the Alabama Educational Television Foundation Authority

1. Administrative Files of the Alabama Educational Television Foundation Authority
2. Corporate Support Documentation*
3. Donor Files

Administering Internal Operations

1. Publications
2. Press Releases
3. Website and Social Media Site(s)
4. Historical Files
5. Copy of Federal Form 990
6. Grant Project Final Narrative Reports
7. External Audit Reports

Records No Longer Created

1. Transcripts of interviews with documentary subjects

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama Public Television Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of Alabama Public Television. The RDA lists records created and maintained by Alabama Public Television in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Services Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.
- This RDA supersedes any previous records disposition schedules and/or RDAs governing the retention of Alabama Public Television's records. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for

short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of Alabama Public Television and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The department may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular meetings.

Governing the Agency

MEETING AGENDAS, MINUTES, AND PACKETS OF ALABAMA PUBLIC TELEVISION

Disposition: PERMANENT RECORD.

ADMINISTRATIVE CORRESPONDENCE OF ALABAMA PUBLIC TELEVISION MEMBERS

Disposition: PERMANENT RECORD.

ADMINISTRATIVE FILES OF THE EXECUTIVE DIRECTOR

Disposition: PERMANENT RECORD.

Legal Files

Disposition: Temporary Record. Retain 6 years after final settlement.

General Manager/Director and Leadership Meeting Files

Disposition: Temporary Record. Retain 5 years.

Controlling and Supervising Educational Television

DOCUMENTARIES, NEWSCASTS, AND EPISODIC PROGRAMS (Final Products Only)

Disposition: PERMANENT RECORD.

SCHEDULES FOR PROGRAMMING

Disposition: PERMANENT RECORD.

BROADCAST RELEASES

Disposition: PERMANENT RECORD. Retain in office.

Daily traffic and underwriting logs

Disposition: Temporary Record. Retain for 2 years, unless APT is notified by the FCC that they are part of an incident or investigation, in which case they are to be held until notified in writing by the FCC that they can be destroyed.

Completed Promos and Underwriters

Disposition: Temporary Record. Retain 3 years.

Viewer Response Records (includes caller log, email log, complaint file, and programming questions)

Disposition: Temporary Record. Retain 10 years.

Raw Footage and B Roll (Under Review)**Emergency Alert System (EAS) Logs, Transmitter Maintenance Logs, Tower Light Logs**

Disposition: Temporary Record. Retain 2 years (Code of Federal Regulations 73.1840).

FCC Public Inspection Files (including WAIQ, WIIQ, and WLRH applications for permits and licenses; permits and licenses and applications for renewals; coverage maps, ownership reports; contracts filed with FCC; annual employment reports; programs and issues reports; digital conversion files; and must carry report)

Disposition: Temporary Record. Retain until superseded (Code of Federal Regulations 73.3527).

Political Files

Disposition: Temporary Record. Retain 2 years (Code of Federal Regulations 73.3527).

Vendor Contracts, Agreements, and Leases; Tower Leases; and Property Leases

Disposition: Temporary Record. Retain for 6 years after superseded or no longer in effect.

FCC Annual Reporting Files

Disposition: Temporary Record. Retain 10 years.

FCC Mid-Term Broadcasting Reports

Disposition: Temporary Record. Retain 10 years.

Creating and Licensing Content**Curriculum Files**

Disposition: Temporary Record. Retain 10 years.

Educational Credentials

Disposition: Temporary Record. Retain 3 years.

Training Data Files including statistical reports, registration lists, survey and assessment results, participant scores

Disposition: Temporary Record. Retain 5 years.

Internal Education Management Records, including internal and external communication; Department of Human Resources reports, planning, and reporting
Disposition: Temporary Record. Retain 5 years.

Strengthening the Agency's Services through the Alabama Educational Television Foundation Authority

ADMINISTRATIVE FILES OF THE ALABAMA EDUCATIONAL TELEVISION FOUNDATION AUTHORITY

Disposition: PERMANENT RECORD.

CORPORATE SUPPORT DOCUMENTATION

Disposition: PERMANENT RECORD. Retain in office.

DONOR FILES

Disposition: PERMANENT RECORD.

Donor Correspondence

Disposition: Temporary Record. Retain 10 years.

Fundraising Letters (sample of the letter)

Disposition: Temporary Record. Retain 3 years.

Copies of financial transactions (detailed batches)

Disposition: Temporary Record. Retain 10 years.

Administering Internal Operations: Managing the Agency

PUBLICATIONS

Disposition: PERMANENT RECORD.

PRESS RELEASES

Disposition: PERMANENT RECORD.

WEBSITE AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive-It]. Check the ADAH section of the Archive-It website at www.archive-it.org/organizations/62 to ensure your agency's website and social media(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

HISTORICAL FILES

Disposition: PERMANENT RECORD.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Telephone Logs/Calendars

Disposition: Temporary Record. Retain 3 years.

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Shipping Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Board of Adjustment Case Files

Disposition: Temporary Record. Retain 10 years after the final disposition of the case.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

System Documentation (hardware/software manuals and diskettes, warranties, licenses)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which former hardware and software no longer exists anywhere in the agency and all permanent records have migrated to a new system.

IT Services Help Desk

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances**Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Tax Records

- a. COPY OF FEDERAL FORM 990

Disposition: PERMANENT RECORD. Retain in office permanently.

- b. Back-up documentation

Disposition: Temporary Record. Retain three years from the date the return was filed or the due date of the return, whichever is longer.

Records documenting grants, including Community Service Grant, Public Broadcasting Service, and Corporation for Public Broadcasting grant files

- a. GRANT PROJECT FINAL NARRATIVE REPORTS

Disposition: PERMANENT RECORD.

- b. Records documenting routine grant activities and compliance with grant program requirements

Disposition: Temporary Record. Retain 7 years following the end of the fiscal year in which the grant was closed.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

EXTERNAL AUDIT REPORTS

Disposition: PERMANENT RECORD.

Agency Audit Reports (conducted by the Examiner of Accounts)

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$15,000

Disposition: Temporary Record. Retain 7 years after end of the fiscal year in which the bids were opened or the time period set by the grant if grant funds were involved, whichever is later.

- b. Duplicate copies of bid (originals are maintained by the Division of Purchasing, Department of Finance)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Administering Internal Operations: Managing Human Resources**Records documenting job recruitment**

Disposition: Temporary Record. Retain 10 years after end of the fiscal year in which the records were created.

Position Classification Records

Disposition: Temporary Record. Retain 4 years after reclassification of the position or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 5 years after separation of employee from the agency or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting payroll deductions for tax purposes (including Form 941 and State Combined Campaign Information)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting an employee's work history (including certification, personnel transactions, and employee appeal of formal reprimands, personnel suits, demotions, transfers, or terminations) for state merit employees – generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting employee's authorization to work in US

Disposition: Temporary Record. Retain 3 years or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting an employee's hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting final leave status

Disposition: Temporary Record. Retain 25 years after separation of the employee from the agency.

Family Medical Leave Records

Disposition: Temporary Record. Retain 3 years or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaint or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Employees Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting formal employee complaints and grievances

Disposition: Temporary Record. Retain 3 years or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Worker's Compensation Injury Records and Files

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the records were created (Code of Alabama 1975 § 25-5-4).

Intern Files

Disposition: Temporary Record. Retain for useful life.

Records documenting safety information/plans

Disposition: Temporary Record. Retain 5 years.

SAS (Station Activity Survey) Report Files

Disposition: Temporary Record. Retain 10 years.

Corporation for Public Broadcasting's Diversity Eligibility Criteria Information

Disposition: Temporary Record. Retain 10 years.

Administering Internal Operations: Managing Properties, Facilities, and Resources**ANNUAL/SEMIANNUAL INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 10 years after end of the fiscal year in which the records were created.

Property Inventory Affidavits

Disposition: Temporary Record. Retain 10 years after end of the fiscal year in which the records were created.

Inventory Cards

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Incident/Accident Report

Disposition: Temporary Record. Retain 2 years following incident/accident or 2 years following the disposition of a claim or lawsuit, whichever is later.

Records documenting the use, maintenance, insurance, and disposition of vehicles leased by the agency

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the vehicle was removed from the property inventory or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created or at the completion of the audit by the State Examiners of Public Accounts for the fiscal year in question, whichever is later.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 10 years after termination of policy or membership.

Records No Longer Created**TRANSCRIPTS OF INTERVIEWS WITH DOCUMENTARY SUBJECTS**

Disposition: PERMANENT RECORD.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirements

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of Alabama Public Television (hereafter referred to as the agency) as stipulated in the document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Record Commission in October of each year.

Recommendations

In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring the permanent records held on alternative storage media (such as microfilms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

- An agency entering into a contract, grant agreement, or other agreement with any private entity to provide government services shall include provisions in said agreement describing the creation, security, accessibility, disposition, and custody of records created to satisfy the agreement. All records created in fulfillment of the contract are public records, as the contract is paid with public funds, and shall be deliverable to the contracting government entity. The contractor shall treat all deliverables under the contract as the property of the State of Alabama, or of the contracting state or local agency thereof, for which the agency shall have unlimited rights to use, dispose of, or disclose such data contained therein as it determines to be in the public interest. In regard to records disposition, the agency is responsible for the final disposition, as stipulated in this RDA, of all records created under the contract; therefore, the contractor must return the records to the agency when the records' usefulness to the contractor and agency ceases.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records in the custody of the agency and inspect records destruction documentation. Government Services Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on October 29, 2014.

Steve Murray, Chairman
State Records Commission

Date

Receipt acknowledged:

Roy Clem, Executive Director
Alabama Public Television

Date